



**PUBLIC COPY  
TECHNICAL PROPOSAL**

**PROJECT DIRECTOR SERVICES FOR THE MMIS IMPLEMENTATION  
PROJECT, REQUEST FOR PROPOSAL MED-12-018**

**Presented by:**



Griffin Enterprise Solutions, Inc.  
Bell Avenue Business Center  
1901 Bell Avenue, Suite 5  
Des Moines, IA 50315



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August 17, 2011

Mary Tavegia, Issue Officer  
RFP #MED-12-018  
Iowa Department of Human Services  
Iowa Medicaid Enterprise  
100 Army Post Road  
Des Moines, Iowa 50315

RE: Project Director Services for the MMIS Implementation Project, RFP #MED-12-018

### **3.2.1 TRANSMITTAL LETTER**

#### **3.2.1.1 Executive Summary**

Griffin Enterprise Solutions, Inc. is a privately held corporation referred to as **GES** throughout the remainder of this proposal is pleased to present our response to the Request for Proposal (RFP) #MED-12-018 for the Project Director Services for the MMIS implementation for the Iowa Medicaid Enterprise (IME). We have reviewed the stated requirements for the scope of work and have a complete understanding of the necessary skill-set that a Project Director must possess in order to assist the IME in the successful implementation of a large, complex Medicaid Management Information System (MMIS) and Pharmacy Point-of-Sale (POS) system and Medicaid services implementation project.

We consider the state of Iowa an innovator in the way in which it has structured the IME. As an early adopter of the Medicaid Information Technology Architecture (MITA) structure from a business prospective which the Centers for Medicare and Medicaid Services (CMS) has promoted all States to follow. The IME is implementing the final MITA objectives by implementing the technical guidelines to develop the new MMIS and POS systems.

Our focus is to provide the IME with the strongest candidate to be able to support the implementation of a large and complex MMIS, POS and Medicaid services project. GES concentrated its effort on individuals that possess strong leadership skills with a solid Medicaid business acumen. Additionally, we believe the ideal Project Director must have excellent communication skills, is a problem solver, previous strategic planning experience, a quality assurance background, ability to work in a cross-functional environment and possesses the historical and current knowledge of the IME business model.

Below are the core competencies of the candidate that GES has identified as the Project Director for the MMIS Implementation Project:

#### **3.2.1.2 Leadership**

The ability to demonstrate proven leadership skills as the Project Director for the MMIS Implementation Project is critical to a successful MMIS implementation as noted below:

- **Effective Communication** - it's more than just being able to speak and write. The leader's communication must move people to work toward the goal the IME has chosen.



As an effective communicator, the Project Director must be able to communicate through the use of the three mediums:

- Oral – ability to verbally express the goals, objectives and the status of the MMIS Implementation Project to stakeholders and other groups that may be impacted throughout the lifecycle of the project
  - Written – capable of producing documents that clearly demonstrate major decisions, issues, risks and overall status of the MMIS Implementation Project
  - Technology – use of various tools to document and track the success of the MMIS Implementation Project, such as; WORD, EXCEL, Microsoft Project PowerPoint and SharePoint
- **Motivation** - a leader has to be able to motivate everyone to contribute throughout the MMIS Implementation Project. Each of us has different "buttons". A leader knows how to push the right buttons to make everyone want to do their best to achieve the IME's goal.
  - **Proactive Problem Solving** - Identify the process of working through details of a problem to reach a viable solution. Table 1 below represents Proactive Problem Solving methodologies and activities.

**Table 1 Proactive Problem Solving Methodologies**

Methodology	Activities
<ul style="list-style-type: none"><li>▪ Recognize the need for problem solving, without waiting to be told.</li><li>▪ Watch for issues, problems, or opportunities that arise, within the IME, external entities and vendors.</li><li>▪ Determine which will impact the MMIS Implementation Project, and whether there is a need to take action.</li><li>▪ Determine if others should be involved, and reach out to them.</li><li>▪ Identify the stakeholders. Seek to draw them into the problem solving, from information gathering and analysis to generating, choosing and implementing solutions.</li></ul>	<ul style="list-style-type: none"><li>▪ Identify individuals that make decisions and will act on them.</li><li>▪ Before undertaking any problem solving process, discuss the issues with the appropriate stakeholders in the problem-solving process, and take action on the solution.</li></ul>
<ul style="list-style-type: none"><li>▪ Gather and interpret relevant information.</li><li>▪ Recognize when more information is needed to understand the issue, problem or opportunity. Gather this information from several different sources to increase the objectivity.</li><li>▪ Integrate the information, and analyze it to see if it reveals any trends or patterns. Document these to explain the decisions.</li></ul>	<ul style="list-style-type: none"><li>▪ When issues are uncovered, problems or opportunities, decide if relying on the same people and resources every time is the best course of action. Identify all of the sources of information and use some new ones to expand the perspective.</li><li>▪ Conduct an initial analysis of the information gathered, looking for trends and relationships. Then discuss the analysis with the appropriate stakeholders to get another perspective.</li></ul>



Methodology	Activities
<ul style="list-style-type: none"><li>■ Generate alternatives.</li><li>■ Identify the outcomes that are most appropriate.</li><li>■ Then generate several practical alternatives for achieving them.</li></ul>	<ul style="list-style-type: none"><li>■ Identify the solution for the problem selected or the outcome desired for an opportunity. Then explain these simply and understandably to the stakeholders.</li><li>■ Use brainstorming and prioritizing methods.</li></ul>
<ul style="list-style-type: none"><li>■ Choose an appropriate course of action.</li><li>■ Formulate criteria that the solution must meet, including such core issues as cost, time to implement, organizational acceptability, and impact on the original problem.</li><li>■ Evaluate the alternative solutions against the criteria, and choose the most effective one.</li><li>■ Present the analysis and recommendations to the stakeholders that have authority to decide.</li><li>■ Commit to the course of action chosen.</li></ul>	<ul style="list-style-type: none"><li>■ List all the criteria for the solution to meet to determine which are “nice to have” and which are “must have.” Discuss these with the stakeholders. The “must have” will become the important selection criteria.</li><li>■ Rank the top three alternative solutions, based on how well they meet the criteria. List the pros and cons for each. Look for ways to improve and combine the top alternatives to come up with a solution all can support.</li></ul>

- **Critical Thinking** - clarifies goals, examines assumptions, discerns hidden values, evaluates evidence, accomplishes actions, and assesses conclusions.
  - Recognize problems, to find workable means for meeting those problems
  - Understand the importance of prioritization and order of precedence in problem solving
  - Gather and marshal pertinent (relevant) information
  - Recognize unstated assumptions and values
  - Comprehend and use language with accuracy, clarity, and discernment
  - Interpret data, to appraise evidence and evaluate arguments
  - Recognize the existence (or non-existence) of logical relationships between propositions
  - Draw warranted conclusions and generalizations
  - Put to test the conclusions and generalizations at which one arrives
  - Reconstruct one's patterns of beliefs on the basis of wider experience
  - Render accurate judgments
- **Time Management** is the process of exercising conscious control over the amount of time spent on specific MMIS project activities, especially to increase efficiency or productivity. Time management may be aided by a range of skills, tools, and techniques used to manage time when accomplishing specific tasks and projects goals. This set encompasses a wide scope of activities, and these include planning, allocating, setting



goals, delegation, analysis of time spent, monitoring, organizing, scheduling, and prioritizing.

A time management system is a designed combination of processes, tools, techniques, and methods. Time management is a necessity as it determines the project completion time and scope for a successful MMIS Implementation Project. Below are commonly used time management methods that can be used to support a success MMIS Implementation Project.

### **ABC Analysis**

A technique that has been used in business management for a long time is the categorization of large data into groups. These groups are often marked A, B, and C. Activities are ranked upon these general criteria:

- A** – Tasks that are perceived as being urgent and important,
- B** – Tasks that are important but not urgent,
- C** – Tasks that are neither urgent nor important.

Each group is then rank-ordered in priority. To further refine priority, some individuals choose to then force-rank all "B" items as either "A" or "C". ABC analysis can incorporate more than three groups.

### **Pareto Analysis**

This is the idea that 80% of the MMIS Implementation Project tasks can be completed in 20% of the disposable time. The remaining 20% of tasks will take up 80% of the time. This principle is used to sort tasks into two parts. It is recommended that tasks that fall into the first category be assigned a higher priority.

The 80-20-rule can also be applied to increase productivity during a MMIS Implementation Project: it is assumed that 80% of the productivity can be achieved by doing 20% of the tasks. Similarly, 80% of results can be attributed to 20% of activity. If productivity is the aim of time management, then these tasks should be prioritized higher.

### **3.2.1.3 Planning**

The Project Director must use a high level planning approach to keep everyone associated with the MMIS Implementation Project moving together to achieve success. In order to ensure planning is achieved the Project Director must employ such strategies as:

- Continuously aligning IME business and information technology needs
- Assisting the IME in overcoming roadblocks
- Facilitation of obtaining the necessary resources within the IME and through the use of contractors
- Ongoing collaboration and coordination with internal and external stakeholders



To ensure integrity of the MMIS Implementation Project, GES recognizes the Project Director must employ various strategies by using a variety of techniques and tools. These techniques and tools include:

**Stakeholder Analysis** - The purpose of a stakeholder analysis is to inform the project sponsor and stakeholders who should contribute to the project, where barriers might be, and the actions that need to be taken prior to detailed project planning. The table below provides an example of this type of analysis.

**Table 2 Stakeholder Analysis**

Stakeholder	Their interest or requirement from the project	What the project needs from them	Perceived attitudes and/or risks	Actions to take	Their interest or requirement from the project
Project Director	Ensures the success of the MMIS Implementation Project	Direction and leadership for the project oversight, management and integration services, MMIS and POS vendors for the MMIS Implementation Project	Risk of managing "out scope services"	Establish a Change Control Board (CCB) to determine what is "in scope" or "out of scope"	Daily management of vendors and ongoing feedback to project sponsors

**Defining Project Responsibilities** – it is imperative to define who is responsible for which area of the project within the IME and vendors. Figure 2 below is a sample form for documenting and managing the personnel (Agency or contractors) responsible for the various activities within the MMIS Implementation Project.

**Table 3 Project Responsibilities**

ACTIVITIES	PERSONNEL					
	Project Director	PMO Vendor	IV&V Vendor	QA Vendor	MMIS Vendor	POS Vendor
Manages the PMO, IVV and QA Vendors	•					



Responsible for project oversight, management and integration services for the MMIS Implementation Project		•				
Responsible for Independent Verification and Validation (IV&V) Services for the MMIS Implementation Project			•			
Responsible for Quality Assurance (QA) Services for the MMIS Implementation Project				•		
Responsible for implementing the Medicaid Management Information System (MMIS)					•	
Responsible for implementing the Pharmacy Point-of-Sale (POS) system						•

### Implementing Quality Management

Excellent project quality management techniques are important to ensure that the MMIS Implementation Project deliverables and end results meet or exceed the IME's expectations. It is important to monitor the project continuously to prevent errors and misinterpretations. "Quality" refers to the ability of a process, or product to satisfy both stated and implied needs, with these needs being defined by the stakeholders.

Having a project quality plan will help determine which quality standards are important to the project. It will also help to ensure that the factors and activities that are required by the stakeholders are included, while unnecessary activities are removed. It is also important to remember that quality is an ongoing process. By refining and improving processes, the end result is continually improved until the level of quality desired is achieved.

### Quality Definition

Project quality management begins by defining the quality standards to be used for the MMIS Implementation Project. This definition will come from the stakeholders, beneficiaries, and often from the overall standards for the Agency and IME. Careful identification of the quality standards will help to insure a successful MMIS Implementation Project outcome that will be accepted by the stakeholders. In addition to quality standards for the end result of the project, there may also be organizational quality standards that must be met for the actual management of the project, such as certain types of reporting or project tracking methods.

### Quality Characteristics

The deliverables of the MMIS Implementation Project will be measured against certain characteristics that will determine their level of quality, dependent on how well they meet the needs of the stakeholders. Quality characteristics such as performance, functionality, suitability, reliability, and consistency are commonly used to measure the project's end result. These quality characteristics are not only applied to the deliverable itself, but also any processes or methods used to deliver the end product, such as equipment or computers. Therefore, the required quality characteristics must be fully stated and understood before any services, materials or equipment used in any part of the project are procured.





## Quality Plan

A quality plan should be written to state the overall activities and tasks that are needed to meet the MMIS Implementation project's quality standards. This plan will include a description of all relevant quality standards and definitions, as well as a description of all conditions that must be met to satisfy the stakeholders. The procedures that will be used to ensure that all quality standards are followed will also be part of the quality plan. All quality elements that are relevant to the project should be included, such as management responsibility, documented quality procedures already in existence, design and document control procedures and purchasing requirements. Procedures designed to deal with inspection testing, non-conformance and resulting corrective actions are also important, as are the methods by which quality records are maintained. The schedule for quality audits and any necessary training requirements should also be included.

## Quality Assurances

Quality assurance processes are used to provide the Agency and IME stakeholders with the guarantee that standards are being maintained, and that the end result will meet their needs. As opposed to quality control, which occurs at the end of the process, quality assurance is planned during the project's earliest stages. To facilitate this assurance, quality audits are scheduled, which provide a structured review of the project activities. As a result of these audits, corrective actions can be approved if necessary via change control processes.

## Quality Control

Quality control is used to evaluate the MMIS Implementation Project's end results as compared to the stated goals and requirements, as well as how successful the project was in terms of budget, schedule and scope management. Evaluations are performed during quality control that will determine if the Agency and IME stakeholders accept or reject the end result. If rejected, rework actions must be planned in order to bring the end result up to expectations. As a result, adjustments are added to the overall process by means of a change control process.

- Quality Assurance is the planned or systematic actions necessary to provide enough confidence that a product or service will satisfy the given requirements.
- Quality Control is the ongoing effort to maintain the integrity of a process to maintain the reliability of achieving an outcome.

**Table 4 Quality Assurance versus Quality Control**

Quality Assurance	Quality Control
A medium to long-term process; cannot be implemented quickly	Can be implemented at short-notice
Focus on processes – how things are made or delivered	Focus on outputs – work-in-progress and finished goods
Achieved by improving production processes	Achieved by sampling & checking (inspection)
Targeted at the whole organization	Targeted at production activities
Emphasizes the client	Emphasizes required standards
Quality is built into the product	Defect products are inspected out



### Quality Improvement

Quality improvement is a continuous and systematic process that is used to find ways of removing waste or unnecessary actions to make processes more efficient and effective. If the current level of quality doesn't match the expected level, quality improvement processes can be used to help identify and address the issues that may be causing the discrepancy. Quality improvement concentrates on identifying what needs to be improved, analyzing the processes, developing solutions or revisions that will solve the problem, and testing to verify that the new solution is effective.

The Project Director must possess a background in quality management as well as possess excellent communication with the project's key stakeholders, in order to determine their needs and their definition of quality. In every project, quality management must be considered equal to in importance as the schedule or the budget. Schedules and budgets often require adjusting as the project progresses until the desired outcome is achieved.

**Risk management** is the identification, assessment, and prioritization of risks (whether positive or negative) followed by coordinated and economical application of resources to minimize, monitor, and control the probability and/or impact of unfortunate events or to maximize the realization of opportunities. Risks can come from uncertainty in MMIS implementation project failures (at any phase in development, production, or sustainment life-cycles).

The strategies to manage risks for the MMIS Implementation Project include transferring the risk to another party, avoiding the risk, reducing the negative effect or probability of the risk, or even accepting some or all of the consequences of a particular risk.

Below is a Risk Analysis chart that provides the ability to identify the nature of a risk, the probability of a risk, impact of a risk and management of the risk. It is recommended that the IME consider purchasing a Risk Tool for tracking purposes throughout the lifecycle of the MMIS Implementation Project.

**Table 5 Risk Analysis**

Score as follows, for Likelihood and Impact: High = 3, Medium = 2,  
Low = 1

Nature of Risk	Likelihood High/ Medium/ Low	Impact High/ Medium/ Low	Likelihood x Impact [Score]	Actions required and who will take responsibility to manage the risk
MMIS Implementation Project timeline slippage	3	3	6	Determine the root cause of the timeline slippage. The Project Director will be responsible for providing a solution to



Nature of Risk	Likelihood High/ Medium/ Low	Impact High/ Medium/ Low	Likelihood x Impact [Score]	Actions required and who will take responsibility to manage the risk
				ensure the project is completed within the targeted timeframe

#### 3.2.1.4 Oversight and Management

The Project Director for the MMIS Implementation Project must possess the necessary skills to ensure contract oversight of the Project Oversight, Management and Integration Services, and MMIS and POS vendors is managed with leadership and accurate decision making.

Without timely and objective direct reporting that allows for informed decision making, costs can escalate, changes and related contract disputes can balloon into major issues of contention and hamper the project team's ability to effectively deliver a project on-time and on-budget.

Project information received late, and presented in a positive light from the best intentioned but optimistic advocate of the project, can leave the responsible Agency and IME stakeholders misinformed and unable to make timely business decisions or take corrective action if needed.

The Project Director must be able to assess, evaluate, and report on the status and risks for the MMIS Implementation Project. The Agency and IME stakeholders can be assured that actions and decisions will be based on an accurate depiction of the projects status as well as the outstanding issues and challenges to an on-time and within budget project completion.

The key attributes that the Project Director possesses related to effectively managing the Project Oversight, Management and Integration Services, and MMIS and POS vendors include:

##### 3.2.1.4.1 Contract Administration and Oversight

The Project Director for the MMIS Implementation Project must have a complete understanding of all components of the solicitation and contract which includes contract measurements, contract monitoring, payment verification, change management and dispute resolution.

##### Contract Measurements

- Expected outcome measures
- Costs
- Contract performance
- Acceptance/rejection terms
- Contract dates
- Contact information



### **Contract Monitoring**

- Determine what to monitor
- Establish expectations for individuals responsible for contract monitoring
- Understand what will be monitored and the criteria used to evaluate contractor performance
- Determine risk assessment to select which contractors should be reviewed, the level of review for each contractor, and the subject matter to include in the review
- Use the results of the reviews to coach contractors and agencies

### **Payment Verification**

- Verify payments are consistent with contract terms
- Ensure appropriate documentation and signature

### **Change Management**

- Administrative changes - changes within the scope (e.g.; contact information, change in personnel, etc.)
- Substantive changes - contractual changes that affect both parties (e.g.; change in the following: price, delivery schedule, quantity, nature of deliverables, key personnel, or terms and conditions)

Constructive changes - work ordered by the user where the contractor perceives that work is beyond the scope of the contract (e.g.; suggestions, accelerated delivery schedule, work to be performed differently, change sequencing of work, delay in accepting or rejecting deliverables, delay reviewing invoices and approving payment, interfere with or hinder performance).

- Change Management Processes
  - Ensure formal, written approval of all changes prior to the changes taking place. Do not verbally authorize the contractor to begin working on a change before the formal process is fully analyzed, documented and approved in writing.
  - Evaluate the impact of each change to the contracting objective, the corresponding deliverable and/or products, the schedule, cost, and increase in agency overhead resulting from the change, impact to work in progress/completed work, standards, and acceptance criteria.
  - Develop a plan for request and approval for how the contingency "draws" against the allowance, if the contract contains a contingency allowance.
  - Document all changes, no matter how small, to avoid circumventing the formal change process.
  - Establish a single point of contact to recommend or authorize any change. Document the change as approved or disapproved. If a change is approved, document the impact to the scope of work through a contract amendment or purchase order change notice, whichever is applicable.



## **Dispute Resolution**

- Identify problem
- Research facts
- Conduct evaluations
- Ensure open communication
- Resolve issue
- Document resolution activities

### **3.2.1.5 Communication**

The Project Director candidate has the skill set to employ Communication Management which plays a key role in keeping all stakeholders of the Agency, IME and Vendors on the same page. Without communication among all team members and project stakeholders there can be a breakdown in processes which could have a negative impact on the final product.

Planning to determine what information needs to be communicated to all stakeholders in the project then using that information must be made readily available to the Agency, IME and Vendor stakeholders and generated in a timely fashion. Performance must also be accounted for by reporting the project status, measuring progress and forecasting. Finally, communication with Agency, IME and Vendor stakeholders must be managed so that all requirements are met and issues are promptly resolved. Interactions and overlap among the communication processes are inevitable and expected throughout all phases of the MMIS Implementation Project.

Communications Management can be broken down into essential knowledge and skills as follows:

- Managing a meeting by having an agenda as well as resolving conflict
- Method of communication; written or oral, informal memo or formal report, face-to-face or email, all of which are dependent on the situation at hand
- Techniques for presentation including whether to use visual aids and effective use of body language
- Possible barriers or feedback loops that influence communication



### **3.2.2 APPROACH TO MEETING DELIVERABLES**

As stated in the Executive Summary in Section 3.2.1, GES is committed to providing the IME with the most qualified candidate for the Project Director for the MMIS Implementation Project. Additionally, we outlined the candidate's strengths, key features and the approach to meeting the scope of work as defined in Section 1.3.1, Deliverables of the RFP which include the following:

- Leadership
- Oversight and Management
- Communication
- Reporting – outlined in Section 3.2.2.1

#### **3.2.2.1 Reporting**

GES recognizes the importance of ensuring the progress of the MMIS Implementation Project is continually analyzed and accurately documented to ensure all stakeholders involved are able to readily review the issues, risks, and overall health status throughout the lifecycle of the project. This is accomplished through use of various reports. The following pages contain sample reports that the Project Director may utilize during various stages of the project:



**Figure 1 Project Reporting Form (Weekly or Monthly)**

Project Title:		Number:	
Project Sponsor:		Project Manager:	
Progress Report		Report No.	
RAG Status*: RED / AMBER / GREEN			
<b>Headlines</b>			
<b>Tasks, Milestones, Outcomes delivered this period</b>		<b>Completion dates</b>	
Tasks, Milestones, Outcomes	Comments	Plan	Actual
<b>Major Risks and Issues</b> Include an assessment of the impact and any actions taken			
<b>Recommendations and Requests for Decisions or Support</b>			
<b>Tasks, Milestones, Outcomes scheduled for next period</b>		<b>Completion dates</b>	
Tasks, Milestones, Outcomes	Comments	Plan	Forecast
* RED	<i>"Major concern - escalate to the next level"</i> Slippage greater than 10% of remaining time or budget, or quality severely compromised. Corrective Action not in place, or not effective. Unlikely to deliver on time to budget or quality requirements		
AMBER	<i>"Minor concern – being actively managed"</i> Slippage less than 10% of remaining time or budget, or quality impact is minor. Remedial plan in place.		
GREEN	<i>"Normal level of attention"</i> No material slippage. No additional attention needed		



Figure 2 Progress Report (Monthly or Quarterly)

Project Name: MMIS

Reporting Period:		Project Manager:		Project Sponsor:				
Prepared by:		Date Prepared:		RAG Status	R	Project Phase:	0	
Project Description:				Project End Date:	dd/mm/yyyy			
Key Deliverables Completed this period			Key Deliverables Outstanding this period		Key Deliverables for next reporting period			
				Delivery Date			Delivery Date	
Risk Management			Issue Management			Change Management		
Log No	Risk	Action/Status	Log No	Issue	Action/Status	Req No	Details	Approved





**Figure 3 Change Control Sheet (As Needed)**

<b>Project Title</b>		<b>Project Number</b>	
<b>Project Manager</b>			
<b>CHANGE REQUEST</b>			
Originator Phone:	Date of request	Change request no. <i>allocated by Change Controller</i>	
Items to be changed		Reference(s)	
Description of change (reasons for change, benefits, date required)			
Estimated cost and time to implement (quotation attached? Yes    No    )			
Priority / Constraints (impact on other deliverables, implications of not proceeding, risks)			
<b>CHANGE EVALUATION</b>			
What is affected		Work required (resources, costs, dates)	
Related change requests			
Name of evaluator		Date evaluated	Signature
<b>CHANGE APPROVAL</b>			
Accepted	Rejected	Deferred	
Name		Signed	Date
Comments			
<b>CHANGE IMPLEMENTATION</b>			
Asset	Implementer	Date completed	Signature



Figure 4 Actual versus Planned Activities (As Needed)

Activity	Planned Time	Actual Time	Difference	Planned Cost	Actual Cost	Difference



Figure 5 Project Analyses (As Needed)

A: SET UP - INITIATION				B: SET UP – DEFINITION			
1	Developed the business case?	Y	N	1	Has a PID or project definition form been completed?		
2	Is a full options appraisal necessary?			2	Are roles explicit and documented?		
3	Is the project in line with the strategic plan?			3	Are levels of authority clear?		
4	Has the project received sign off by sponsor or project board?			4	Have you carried out a stakeholder analysis and planned accordingly?		
C: DELIVERY PLANNING				5	Have you assessed risks and put a plan into action to monitor them?		
1	Have you broken the project down into its component parts – work breakdown			6	Are you clear what is driving the project Quality, Cost or Time (1 only)		
2	How accurate are your estimates? If a low percentage then recalculates.			7	Have clear project review procedures been established?		
3	Have you developed a milestone chart or produced a Gantt chart?			8	Has planning started for a start up workshop (or series of workshops)?		
4	Have you developed an overall project budget? Have you sought advice from financial experts			9	Team selection - have you got the correct mix of skills and professional experience?		
D: DELIVERY				E: CLOSEDOWN AND REVIEW			
5	Have you identified the critical path for the project?			1	Post project review has been planned?		
6	Have you developed a communications plan and included its component parts into the Gantt charts?			2	Learning identified?		
7	Are you continuing to carry out risk analysis throughout the project?			3	Is the project still delivering the benefits intended?		
8	Are quality standards high? How do you know?			4	Is there a case for abandoning the project – off schedule or delivered a significant part of it?		
				5	End of project review reports are produced and circulated?		



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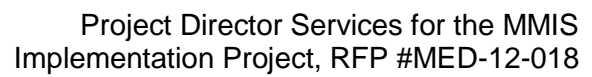
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### **3.2.3 LETTER OF COMMITMENT**

[REDACTED]

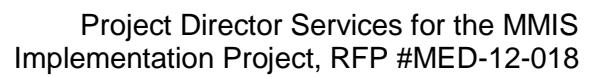
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### 3.2.4 RESUME



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### 3.2.5 RFP FORMS

#### Attachment A: Release of Information

*(Return this completed form behind Tab 3 of the Bid Proposal.)*

**Griffin Enterprise Solutions, Inc.** \_\_\_\_\_ (name of bidder) hereby authorizes any person or entity, public or private, having any information concerning the bidder's background, including but not limited to its performance history regarding its prior rendering of services similar to those detailed in this RFP, to release such information to the Agency. The bidder acknowledges that it may not agree with the information and opinions given by such person or entity in response to a reference request. The bidder acknowledges that the information and opinions given by such person or entity may hurt its chances to receive contract awards from the Agency or may otherwise hurt its reputation or operations. The bidder is willing to take that risk. The bidder agrees to release all persons, entities, the Agency, and the State of Iowa from any liability whatsoever that may be incurred in releasing this information or using this information.

\_\_\_\_\_  
Printed Name of Bidder Organization

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name



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**Attachment B: Primary Bidder Detail Form & Certification**

<b>Primary Contact Information (individual who can address issues re: this Bid Proposal)</b>
<b>Name:</b> Thomas J. Mologianes
<b>Address:</b> 1901 Bell Avenue, Suite 5, Des Moines, IA 50315
<b>Tel:</b> 515-339-7079
<b>Fax:</b> 515-339-7079
<b>E-mail:</b> griffinenterprisesolutions@gmail.com

<b>Primary Bidder Detail</b>	
<b>Business Legal Name ("Bidder"):</b> Griffin Enterprise Solutions, Inc.	
<b>"Doing Business As" names, assumed names, or other operating names:</b> Not Applicable	
<b>Parent Corporation, if any:</b> Not Applicable	
<b>Form of Business Entity (i.e., corp., partnership, LLC, etc.):</b> Corporation	
<b>State of Incorporation/organization:</b> Iowa	
<b>Primary Address:</b> 1901 Bell Avenue, Suite 5, Des Moines, IA 50315	
<b>Tel:</b> 515-339-7079	
<b>Fax:</b> 515-339-7079	
<b>Local Address (if any):</b> 1901 Bell Avenue, Suite 5, Des Moines, IA 50315	
<b>Addresses of Major Offices and other facilities that may contribute to performance under this RFP/Contract:</b> Not Applicable	
<b>Number of Employees:</b> 2	
<b>Number of Years in Business:</b> July 07, 2011	
<b>Primary Focus of Business:</b> Consulting	
<b>Federal Tax ID:</b> 45-2732634	
<b>Bidder's Accounting Firm:</b> Roth and Company P.C.	
<b>If Bidder is currently registered to do business in Iowa, provide the Date of Registration:</b> 07/07/2011	
<b>Do you plan on using subcontractors if awarded this Contract? {If "YES," submit a Subcontractor Disclosure Form for each proposed subcontractor.}</b>	No



In compliance with RFP Requirement 2.20, Public Records and Request for Confidential Treatment, we request that the information listed be treated as confidential per the specific grounds enumerated in the Iowa Chapter Code 22 that support treatment of this material as confidential and that explain why disclosure is not in the best interest of the public

Request for Confidential Treatment		
Location in Bid (Tab/Page)	Statutory Basis for Confidentiality	Description/Explanation
<i>Tab 3.2.3, Page 18 – Letter of Commitment</i>  <i>Tab 3.2.4, Pages 19-27 – Resume of Candidate and References</i>	<i>Iowa Code 22.7.3.b</i>	<i>Trade Secrets: Description of Internal management principles and techniques, protected business practices and corporate policies as applied to this proposal, would create an economic loss to GES if revealed</i>

Exceptions to RFP/Contract Language			
RFP/Sample Contract Section and Page	Language to Which Bidder Takes Exception	Explanation and Proposed Replacement Language:	Cost Savings to the Agency if the Proposed Replacement Language is Accepted
Sample Contract, Section 1.4, Page 37	All insurance values	The insurance requirements are typically reserved for contractors performing a larger scope of work involving large contract values and multiple employees. <b>Proposed Replacement Language:</b>	Reduces the cost of the contract





Exceptions to RFP/Contract Language			
RFP/Sample Contract Section and Page	Language to Which Bidder Takes Exception	Explanation and Proposed Replacement Language:	Cost Savings to the Agency if the Proposed Replacement Language is Accepted
		Remove the Automobile Liability Requirement as the Project Director has automobile insurance coverage and is not transporting staff or Agency personnel. Reduce General Liability, Umbrella Insurance, Worker's Compensation, Property Damage and Professional Liability coverage to \$500k/\$200k aggregate.	

#### BID PROPOSAL CERTIFICATION

By signing below, Bidder certifies that:

- Bidder accepts and will comply with all Contract Terms and Conditions contained in the Sample Contract without change except as otherwise expressly stated in the Primary Bidder Detail Form & Certification.



- 
- Bidder has reviewed the Additional Certifications, which are incorporated herein by reference, and by signing below represents that Bidder agrees to be bound by the obligations included therein.
  - Bidder does not discriminate in its employment practices with regard to race, color, religion, age (except as provided by law), sex, marital status, political affiliation, national origin, or handicap;
  - No cost or pricing information has been included in the Bidder's Technical Proposal;
  - Bidder has received any amendments to this RFP issued by the Agency;
  - Bidder either is currently registered to do business in Iowa or agrees to register if Bidder is awarded a Contract pursuant to this RFP;
  - The person signing this Bid Proposal certifies that he/she is the person in the Bidder's organization responsible for, or authorized to make decisions regarding the prices quoted and he/she has not participated, and will not participate, in any action contrary to the anti-competitive agreements outlined above;
  - Bidder specifically stipulates that the Bid Proposal is predicated upon the acceptance of all terms and conditions stated in the RFP and the Sample Contract without change except as otherwise expressly stated in the Primary Bidder Detail Form & Certification. Objections or responses shall not materially alter the RFP. All changes to proposed contract language, including deletions, additions, and substitutions of language, must be addressed in the Bid Proposal;
  - Bidder certifies that the Bidder organization has sufficient personnel resources available to provide all services proposed by the Bid Proposal, and such resources will be available on the date the RFP states services are to begin. Bidder guarantees personnel proposed to provide services will be the personnel providing the services unless prior approval is received from the Agency to substitute staff;
  - Bidder certifies that if the Bidder is awarded the contract and plans to utilize subcontractors at any point to perform any obligations under the contract, the Bidder will (1) notify the Agency in writing prior to use of the subcontractor, and (2) apply all restrictions, obligations, and responsibilities of the resulting contract between the Agency and contractor to the subcontractors through a subcontract. The contractor will remain responsible for all Deliverables provided under this contract.
  - Bidder guarantees the availability of the services offered and that all Bid Proposal terms, including price, will remain firm until a contract has been executed for the services contemplated by this RFP or one year from the issuance of this RFP, whichever is earlier; and,
  - Bidder certifies it is either a) registered or will become registered with the Iowa Department of Revenue to collect and remit Iowa sales and use taxes as required by Iowa Code chapter 423; or b) not a "retailer" of a "retailer maintaining a place of business in this state" as those terms are defined in Iowa Code subsections 423.1(42) & (43). The Bidder also acknowledges that the Agency may declare the bid void if the above certification is false. Bidders may register with the Department of Revenue online at: <http://www.state.ia.us/tax/business/business.html>.

By signing below, I certify that I have the authority to bind the Bidder to the specific terms, conditions and technical specifications required in the Agency's Request for Proposals (RFP) and offered in the Bidder's Proposal. I understand that by submitting this Bid Proposal, the Bidder agrees to provide services described herein which meet or exceed the requirements of the Agency's RFP unless noted in the Bid Proposal and at the prices quoted by the Bidder. I certify that the contents of the Bid



Project Director Services for the MMIS  
Implementation Project, RFP #MED-12-018

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Proposal are true and accurate and that the Bidder has not made any knowingly false statements in the Bid Proposal.

<b>Signature:</b>
<b>Printed Name/Title:</b>
<b>Date:</b>



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**Attachment C: Subcontractor Disclosure Form**

<b>Primary Bidder ("Primary Bidder"):</b> GES
<b>Subcontractor Contact Information (individual who can address issues re: this RFP)</b>
<b>Name:</b> NOT APPLICABLE
<b>Address:</b>
<b>Tel:</b>
<b>Fax:</b>
<b>E-mail:</b>
<b>Subcontractor Detail</b>
<b>Subcontractor Legal Name ("Subcontractor"):</b>
<b>"Doing Business As" names, assumed names, or other operating names:</b>
<b>Form of Business Entity (i.e., corp., partnership, LLC, etc.)</b>
<b>State of Incorporation/organization:</b>
<b>Primary Address:</b>
<b>Tel:</b>
<b>Fax:</b>
<b>Local Address (if any):</b>
<b>Addresses of Major Offices and other facilities that may contribute to performance under this RFP/Contract:</b>
<b>Number of Employees:</b>
<b>Number of Years in Business:</b>
<b>Primary Focus of Business:</b>
<b>Federal Tax ID:</b>
<b>Subcontractor's Accounting Firm:</b>
<b>If Subcontractor is currently registered to do business in Iowa, provide the Date of Registration:</b>
<b>Percentage of Total Work to be performed by this Subcontractor pursuant to this RFP/Contract.</b> Not Applicable
<b>General Scope of Work to be performed by this Subcontractor – Not Applicable</b>



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<b>Detail the Subcontractor's qualifications for performing this scope of work – Not Applicable</b>
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By signing below, Subcontractor agrees to the following:

1. Subcontractor has reviewed the RFP, and Subcontractor agrees to perform the work indicated in this Bid Proposal if the Primary Bidder is selected as the winning bidder in this procurement.
2. Subcontractor has reviewed the Additional Certifications and by signing below confirms that the Certifications are true and accurate and Subcontractor will comply with all such Certifications.
3. Subcontractor agrees that it will register to do business in Iowa before performing any services pursuant to this contract, if required to do so by Iowa law.
4. Subcontractor does not discriminate in its employment practices with regard to race, color, religion, age (except as provided by law), sex, marital status, political affiliation, national origin, or handicap;

The person signing this Subcontractor Disclosure Form certifies that he/she is the person in the Subcontractor's organization responsible for or authorized to make decisions regarding the prices quoted and he/she has not participated, and will not participate, in any action contrary to the anti-competitive obligations agreements outlined above.

I hereby certify that the contents of the Subcontractor Disclosure Form are true and accurate and that the Subcontractor has not made any knowingly false statements in the Form.

<b>Signature for Subcontractor:</b> Not Applicable
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<b>Printed Name/Title:</b> Not Applicable
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<b>Date:</b> Not Applicable
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## 3.2.6 BIDDER'S BACKGROUND

### 3.2.6.1 Termination, Litigation, and Investigation

Bid Proposals must indicate whether any of the following conditions have been applicable to the bidder, or a holding company, parent company, subsidiary, or intermediary company of the bidder during the past five (5) years. If any of the following conditions are applicable, then the bidder shall state the details of the occurrence. If none of these conditions is applicable to the bidder, the bidder shall so indicate.

- List any contract for services that the bidder has had that was terminated for convenience, non-performance, non-allocation of funds, or any other reason for which termination occurred before completion of all obligations under the contract provisions. **Not Applicable**
- List any occurrences where the bidder has either been subject to default or has received notice of default or failure to perform on a contract. Provide full details related to the default or notice of default including the other party's name, address, and telephone number. **Not Applicable**
- List any damages, penalties, disincentives assessed, or payments withheld, or anything of value traded or given up by the bidder under any of its existing or past contracts as it relates to services performed that are similar to the services contemplated by this RFP. Include the estimated cost of that incident to the bidder with the details of the occurrence. **Not Applicable**
- List and summarize pending or threatened litigation, administrative or regulatory proceedings, or similar matters related to the subject matter of the services sought in this RFP. **Not Applicable**
- List any irregularities that have been discovered in any of the accounts maintained by the bidder on behalf of others. Describe the circumstances of irregularities or variances and detail how the issues were resolved. **Not Applicable**
- List any details of whether the bidder or any owners, officers, primary partners, staff providing services or any owners, officers, primary partners, or staff providing services of any subcontractor who may be involved with providing the services sought in this RFP, have ever had a founded child or dependent adult abuse report, or been convicted of a felony. **Not Applicable**